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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/891,300	06/27/2001	Sang-Woo Lee	P-213	1619

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EXAMINER

SHIFERAW, ELENI A

ART UNIT	PAPER NUMBER
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2136

DATE MAILED: 09/21/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

<b>Office Action Summary</b>	<b>Application No.</b>	<b>Applicant(s)</b>	
	09/891,300	LEE, SANG-WOO	
	<b>Examiner</b>	<b>Art Unit</b>	
	Eleni A Shiferaw	2136	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --  
**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

#### Status

- 1) ☐ Responsive to communication(s) filed on \_\_\_\_.
- 2a) ☐ This action is **FINAL**.      2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

#### Disposition of Claims

- 4) ☒ Claim(s) 1-22 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-22 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_ are subject to restriction and/or election requirement.

#### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 27 June 2001 is/are: a) ☐ accepted or b) ☒ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

#### Priority under 35 U.S.C. § 119

- 12) ☒ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All    b) ☒ Some \*    c) ☐ None of:
1. ☒ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

#### Attachment(s)

- |  |   |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)                        | 4) <input type="checkbox"/> Interview Summary (PTO-413)                     |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)               | Paper No(s)/Mail Date. ____.  |
| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08) | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152) |
| Paper No(s)/Mail Date <u>07/31/2001</u>  | 6) <input type="checkbox"/> Other: ____.                                    |

**DETAILED ACTION**

1. Claims 1-22 are presented for examination.

***Drawings***

2. Figure 1 should be designated by a legend such as --Prior Art-- because only that which is old is illustrated. See MPEP § 608.02(g). Corrected drawings in compliance with 37 CFR 1.121(d) are required in reply to the Office action to avoid abandonment of the application. The replacement sheet(s) should be labeled "Replacement Sheet" in the page header (as per 37 CFR 1.121(d)) so as not to obstruct any portion of the drawing figures. If the changes are not accepted by the examiner, the applicant will be notified and informed of any required corrective action in the next Office action. The objection to the drawings will not be held in abeyance.

***Claim Rejections - 35 USC § 103***

3. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

4. Claims 1-22 are rejected under 35 U.S.C. 103(a) as being unpatentable over Coley et al. (Coley, U.S. Patent No. 6,061,798) in view of Gupta et al. (Gupta, Pub. No.

US 2001/0020242 A1), and in further view of Nagar et al. (Nagar, U.S. Patent No. 6,604,143 B1)

4.1 As per claim 1, Coley teaches a protective device for internal resource protection in a network, comprising:

a firewall (Coley Fig. 3 No. 318) between an internal network (Coley Fig. 3 No. 328) and an external network (Coley Fig. 3 No. 306), to selectively perform a disconnection function for an access request to the internal network from the external network (Coley Fig. 4B No. 430, Col. 6 lines 7-23);

a FTP proxy to perform an authentication function for an access request (Coley Col. 8 lines 64-col. 9 lines 34) and log information related to the transmission of data by an authenticated user (Coley Col. 13 lines 24-37; Coley teaches a transaction log (information of user data transmitted) that gathers information associated with any access request message, therefore it would have been obvious to one having ordinary skill in the art at the time the invention was made to have log information related to the transmission of data by an authenticated user because it would help to monitor the user's identity, IP address, the destination address, time of access); and

a database to store log information related to the transmission of data according to the control of the FTP proxy (Coley Col. 13 lines 24-37; Coley teaches a transaction log (information of user data transmitted) that gathers information associated with any access request message, therefore it would have been obvious to one having ordinary skill in the art at the time the invention was made to have log

information related to the transmission of data by an authenticated user because it would help to monitor the identity of a user, IP address, the destination address, time of access).

Coley do not explicitly teach a file system to store data transmitted from the internal network to the external network according to the control of the FTP proxy;

However Gupta discloses coping information and storing it in proxy database when information is transmitted from client to proxy (Gupta Page 4 par. 0057)

Therefore it would have been obvious to one having ordinary skill in the art at the time the invention was made to employ the teachings of Gupta with in the system of Coley because it would allow the proxy to access the time that the user spends on particular website (Page 4 Par. 0057). Therefore it is obvious to have a file system to store data transmitted from the internal network to the external network according to the control of the FTP proxy because it would allow the operator to monitor which file has been transmitted by what user, and access requests from the internal network to the external network;

Coley and Gupta do not explicitly teach an access request from the internal network to the external network

However Nagar teaches an access requests originating from a client within Intranet that are destined for Internet server and responses to these requests as well (Nagar Col. 4 lines 56-67)

Therefore it would have been obvious to one having ordinary skill in the art at the time the invention was made to employ the teachings of Nagar with in the combination

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system of Coley and Gupta because it would allow the intranet client to access information to the Internet and retrieve information from internet server, the proxy receives request information to access the internet from the intranet client and proxy filters the information and the filtered request is then used to retrieve information from a server process and create communication (Nagar abstract, Col. 5 lines 17-31).

Therefore it would have been obvious to one having ordinary skill in the art at the time the invention was made to apply the teachings of Nagar, Gupta and Coley to have a proxy between an internal and an external network that performs authentication of an internal network users request to access an external network and transmission of data by an authenticated user, and to have database to store log files, and file system to store copies of data transmitted because it would authenticate a request from an internal network users to accessing an external server data.

4.2 As per claim 5, Coley, Gupta, and Nagar teach all the subject matter as described above. In addition Coley teaches a method for protecting internal resources in a network, comprising:

determining whether an access request is permitted or not (Coley Fig. 4B No. 428);

receiving a service command (Coley Fig. 4B No. 436); and

if the received service command is a command requesting data transmission, transmitting data from the internal user (Coley Col. 8 lines 29-44);

Gupta teaches storing different information in the proxy database when a request is transmitted from the client that reads on if the received service command is a command designating a type of data, storing the designated type of data (Gupta Page 4 col. 0057; it would have been obvious to one having ordinary skill in the art at the time of the invention was made to store the designated type of data if the received service command is a command designating a type of data because it would help to identify the file data according to its data type); and

recording the transmission and reception of service (Gupta Page 4 par. 0057)

The rational for combining are the same as claim 1 above.

Nagar teaches accessing an external network from an internal user of an internal network (Nagar Col. 4 lines 56-67);

connecting to a server located in the external network if the access request is permitted (Nagar Col. 4 lines 56-67; request from intranet user to internet server, Abstract; the request is then used to retrieve information from a server process); and

receiving a service command from the internal user (Nagar Col. 4 lines 56-67; proxy receives request command from intranet user to access the internet server) The rational for combining are the same as claim 1 above.

4.3 As per claim 14, Coley, Gupta, and Nagar teach all the subject matter as described above. In addition Coley teaches a method for protecting internal resources in a network, comprising:

giving a user of a local network in which a firewall is built a proper ID and host information (Coley Col. 7 lines 66-col. 8 lines 18, Fig. 4B; an external network user is given an ID and host information to required to enter id and host information therefore it would have been obvious to one having ordinary skill in the art to give a proper ID to an internal network user because it would it would help to authenticate an internal user to access an external network);

performing authentication (Coley Fig. 4B No. 428) and access control upon receiving a request for access (Coley Fig. 4B); and

storing log information in a database (Coley Col. 13 lines 24-37); The rational for combining are the same as claim 1 above.

Gupta teaches transmitting file data transmitted from the internal user to the server and storing copies of the transmitted file data (Gupta Page 4 par. 0057); The rational for combining are the same as claim 1 above.

Nagar teaches a request for access to an external network from the internal user (Nagar Col. 4 lines 56-67);

connecting to a server of the external network if an access to the external network is permitted that reads on receiving a service command from the internal user, and if the service command is a request for data transmission, transmitting file data transmitted from the internal user to the server and storing copies of the transmitted file data (Nagar Col. 4 lines 56-67; request from intranet user to internet server, Abstract;



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the request is then used to retrieve information from a server process); The rationale for combining are the same as claim 1 above.

4.4 As per claim 2, Coley, Gupta, and Nagar teach all the subject matter as described above. In addition Coley teaches the device, further comprising a proxy monitor configured to display the log information outputted from the FTP proxy (Coley col. 6 lines 7-24, col. 9 lines 1-34, col. 13 lines 24-37).

4.5 As per claim 3, Coley, Gupta, and Nagar teach all the subject matter as described above. In addition Nagar teaches the device, wherein a client can connect to a FTP server of the external network through the FTP proxy (Nagar Col. 4 lines 56-67).

4.6 As per claim 4, Coley, Gupta, and Nagar teach all the subject matter as described above. In addition Coley teaches the device, wherein the log information comprises a file name and absolute path of the file data to be stored in the FTP server, and a file name and absolute path of the file data logged on the FTP proxy (Coley Col. 13 lines 24-35; Coley teaches a transaction log (information of user data transmitted) that gathers information associated with any access request message, therefore it would have been obvious to one having ordinary skill in the art at the time the invention was made to have log information that comprises a file name and absolute path of the file data to be stored in the FTP server, and a file name and absolute path of the file

data logged on the FTP proxy because it would help to monitor the transmitted data file name, and path on the proxy).

4.7 As per claim 6, Coley, Gupta, and Nagar teach all the subject matter as described above. In addition Coley teaches the method, wherein the step of determining whether an access request is permitted comprises:

determining whether an ID transmitted from a user is a registered ID or not (Coley Fig. 4B No. 428; teaches determining whether an ID transmitted from the external user is a registered ID or not, it is obvious to determine whether an ID transmitted from the internal user is a registered ID or not); and

controlling access by determining whether a host that has transmitted the access request is a registered host or not, if the ID is a registered ID (Coley Fig. 4B No. 436; Coley discloses controlling access by determining whether a host that has transmitted the access request is a registered host or not, if the ID of the external user is a registered ID, it would have been obvious to one ordinary skill in the art at the time the invention was made to control access by determining whether a host that has transmitted the access request is a registered host or not, if the ID of the internal user is a registered ID).

4.8 As per claim 7, Coley, Gupta, and Nagar teach all the subject matter as described above. In addition Coley teaches the method, wherein the access control step comprises:

reading host information corresponding to the registered ID using the registered ID (Coley Fig. 4B No. 440, Col. 8 lines 64-col. 9 lines 34);

determining whether the host information read from the database and the host that has transmitted the access request are identical or not (Coley Col. 9 lines 1-43);

permitting access if the two hosts are identical (Coley Col. 8 lines 64-col. 8 lines 34, Fig. 4B No. 440)

Nagar teaches reading host information corresponding to the registered ID from an internal database (Nagar Col. 4 lines 56-67);

permitting access to the external network (Nagar Col. 4 lines 56-67) The rationale for combining are the same as claim 1 above.

4.9 As per claim 8, Coley, Gupta, and Nagar teach all the subject matter as described above. In addition Coley teaches the method, wherein access control is not performed if the ID transmitted from the internal user is "Anonymous" (Coley Col. 6 lines 7-23, Fig. 4B No. 430).

4.10 As per claim 9, Coley, Gupta, and Nagar teach all the subject matter as described above. In addition Coley teaches the method, wherein the step of transmitting data comprises:

checking an ID if the received service command is a command requesting data transmission (Coley Col. 8 lines 29-44; Coley discloses checking an ID of the external user for transmission data request, it would have been obvious to check an ID of the internal user at the time of the invention was made because it would allow to authenticate an internal user from accessing external network);

if the user ID is "Anonymous," interrupting the transmission of the received service command to the external network (Coley Col. 6 lines 7-23); and

if the user ID is a registered ID other than "Anonymous," transmitting the received service command and transmitting the data received (Coley Col. 6 lines 7-23; discloses if the user ID is a registered ID other than "Anonymous," transmitting the received service command to internal network and transmitting the data received from the external user to the internal user)

4.11 As per claim 10, Coley, Gupta, and Nagar teach all the subject matter as described above. In addition Coley teaches the method, wherein recording the transmission and reception of services comprises:

receiving file data to be transmitted from the internal user to the external network (Coley Col. 8 lines 29-67);

identifying the file data according to its data type to store the file data in the file system (Coley Col. 12 lines 65-col. 13 lines 15); and

recording log information on the transmission of file data in a database (Coley Col. 13 lines 29-49).

4.12 As per claim 11, Coley, Gupta, and Nagar teach all the subject matter as described above. In addition Coley teaches the method, wherein the filed data can be identified by the user as a designated data type or can be identified as a default data type (Coley Col. 12 lines 65-col. 13 lines 15).

4.13 As per claim 12, Coley, Gupta, and Nagar teach all the subject matter as described above. In addition Coley teaches the method, wherein the log information is recorded in the database (Coley Col. 13 lines 29-49)

when all data (user request) to be transmitted from the internal user to the external network is transmitted (Nagar Col. 4 lines 56-67). The rationale for combining are the same as claim 1 above.

4.14 As per claim 13, Coley, Gupta, and Nagar teach all the subject matter as described above. In addition Coley teaches the method, wherein the log information comprises a file name and absolute path of the file data to be stored in the FTP server, and a file name and absolute path of the file data logged on the FTP proxy (Coley Col. 13 lines 24-35; Coley teaches a transaction log (information of user data transmitted) that gathers information associated with any access request message, therefore it would have been obvious to one having ordinary skill in the art at the time the invention was made to have log information that comprises a file name and absolute path of the file data to be stored in the FTP server, and a file name and absolute path of the file

data logged on the FTP proxy because it would help to monitor the transmitted data file name, and path on the proxy).

4.15 As per claim 15, Coley, Gupta, and Nagar teach all the subject matter as described above. In addition Coley teaches the method, wherein the authentication and access control comprises:

determining whether the ID transmitted is a registered ID (Coley Fig. 4B No. 428; teaches determining whether an ID transmitted from the external user is a registered ID, it is obvious to determine whether an ID transmitted from the internal user is a registered ID);

if the ID is registered, reading host information corresponding to the registered ID from the database (Coley Col. 8 lines 64-col. 9 lines 34, Fig. 4B No. 440);

determining whether the host information read from the database and the host who has transmitted the access request are identical (Coley Col. 9 lines 1-43);  
and

permitting access if the two hosts are identical (Coley Col. 8 lines 64-col. 8 lines 34, Fig. 4B No. 440).

Nagar teaches permitting access to the external network (Nagar Col. 4 lines 56-67) The rationale for combining are the same as claim 1 above

4.16 As per claim 16, Coley, Gupta, and Nagar teach all the subject matter as described above. In addition Coley teaches the method of claim 14, wherein storing copies of the transmitted file data and log information comprises:

receiving file data to be transmitted from the user to the external network (Coley Col. 8 lines 29-67);

identifying the file data according to a data type to thus store the file data in the file system (Coley Col. 12 lines 65-col. 13 lines 15); and

recording log information regarding the transmission of file data in a database (Coley Col. 13 lines 29-49).

4.17 As per claim 17, Coley, Gupta, and Nagar teach all the subject matter as described above. In addition Coley teaches the method, wherein the log information comprises a user ID for performing file data transmission, a source IP address of the client being used by the internal user, a destination P address of the FTP server that receives the file data, a date and time of file data transmission, a file name and absolute path of the file data to be stored in the FTP server, and a file name and absolute path of the file data logged on the FTP proxy (Coley Col. 13 lines 19-37).

4.18 As per claim 18, Coley, Gupta, and Nagar teach all the subject matter as described above. In addition Gupta teaches the device, wherein the file system stores data according to a type of the data (Gupta Page 4 par. 0057). The rationale for combining are the same as claim 1 above.

4.19 As per claim 19, Coley, Gupta, and Nagar teach all the subject matter as described above. In addition Gupta teaches the device of claim 18, wherein the type of data is at least one of ASCII, EBCDIC, and Image (Gupta Page 4 par. 0057).

4.20 As per claim 20, Coley, Gupta, and Nagar teach all the subject matter as described above. In addition

the device, further comprising a client (Nagar Fig. 2 No. 216), coupled to the firewall and to the FTP proxy (Nagar Fig. 2 No. 214), to request FTP service from the external network (Nagar Col. 4 lines 56-67) if the FTP proxy successfully authenticates the client (Coley Fig. 4B) The rationale for combining are the same as claim 1 above..

4.21 As per claim 21, Coley, Gupta, and Nagar teach all the subject matter as described above. In addition Coley teaches the method further comprising outputting the login information in a form recognizable to a system operator (Coley Col. 13 lines 19-37, col. 9 lines 1-36).

4.22 As per claim 22, Coley, Gupta, and Nagar teach all the subject matter as described above. In addition Coley teaches the method, further comprising outputting the log information in a form recognizable by a system operator (Coley Col. 13 lines 19-37, col. 9 lines 1-36).

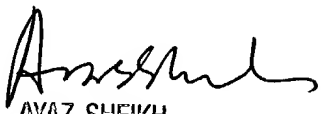


5. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Eleni A Shiferaw whose telephone number is 703-305-0326. The examiner can normally be reached on Mon-Fri 8:00am-5:00pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Ayaz R Sheikh can be reached on 703-305-9648. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

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